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# The differential effects of high versus low functioning and of growing versus deteriorating counselors of client change.

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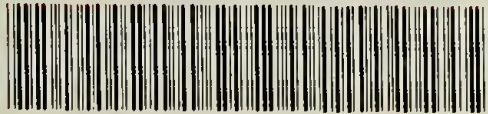
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THE DIFFERENTIAL EFFECTS OF HIGH VERSUS  
LOW FUNCTIONING AND OF GROWING VERSUS  
DETERIORATING COUNSELORS ON  
CLIENT CHANGE

A Dissertation Presented

By

Daniel W. Kratochvil

Submitted to the Graduate School of the  
University of Massachusetts in  
partial fulfillment of the requirements for the

MASTER'S DEGREE

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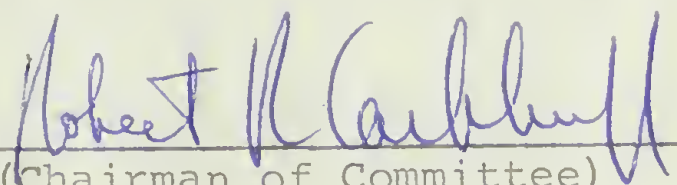
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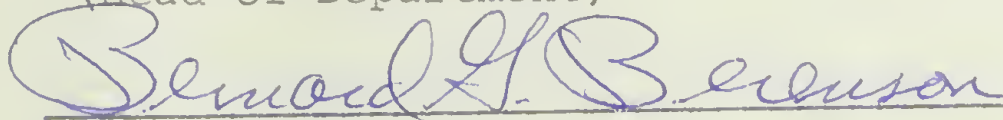
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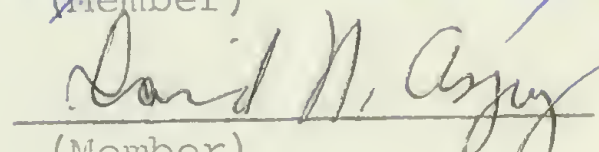
  
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The Differential Effects of High Versus Low  
Functioning And Of Growing Versus Deteriorating  
Counselors On Client Change

INTRODUCTION

Over a decade ago the findings of several research efforts critically challenged the efficacy of the treatment and training processes of the helping professions. The results of one review (Eysenck, 1952) failed to find support for the hypothesis that psychotherapy facilitates recovery; in fact, in some cases there were indications that no therapy was more beneficial. Eysenck's findings were replicated in a similar review (Levitt, 1957) concerning therapy with children. The results of a study by Kelly and Fiske (1950) indicated that with increasing confidence in clinical judgment there are decreasing validities of predictions. Taft (1955) demonstrated that persons with graduate training, irrelevant to the understanding and judgment of behavior and equal in amount to that of persons trained in the helping professions, judge personality characteristics with a relatively high degree of accuracy. Despite the intensity of the criticism, the challenge was not met. Rather, after an initial frenzy, members of the helping professions closed their minds to the fact that their profession had been critically and justly challenged.

Fortunately, recent research efforts to assess the efficacy of training and treatment processes have once again



proclaimed the need to examine the current modes of treatment and training. Weiss (1963), in a study similar to Taft's (1955), found that persons with graduate training, irrelevant to the understanding and judgment of behavior and equal in amount to that of persons trained in the helping professions, are better predictors of behavior with increasing information and personal encounters. Bergin and Solomon (1963) demonstrated the unbelievable finding that the patients of those clinicians who have received the highest academic and practicum grades tend to get worse. It is clear, now, that traditional training programs of all kinds have simply not established their efficacy (Carkhuff, 1966a). The implications of these findings, coupled with those of a decade ago, are profound. The results are distressing; that the challenge was not met earlier is even more agonizing.

While numerous, recent research efforts have pointed to the inefficacy of current training and treatment processes, significant direction has been found. There is a substantial body of evidence to indicate the importance of a central core of facilitative conditions in effective training and treatment processes. That is, those helping processes involving the highest levels of therapist offered conditions of empathy, positive regard, genuineness and concreteness or specificity



of expression elicit the greatest client process involvement and ultimately the greatest constructive client gains or change (Carkhuff, 1966a,b,c; Truax and Carkhuff, 1964). Furthermore, psychotherapy, as any other relationship, can be "for better or for worse" (Carkhuff, 1966a). That is, high levels of the dimensions comprising the central core of facilitative conditions accounts in large part for constructive client outcomes, while low levels account for deteriorative processes. If relationships can be for better or for worse, then we are talking not so much about the conditions of counseling and psychotherapy as we are about the conditions of effective and ineffective living.

Hence, we have reached a point where we are identifying specific dimensions of any relationship. The implication is that the more we learn about how to help people, the more we also know how to hurt people. Furthermore, both clients and counselors, as well as students and teachers, children and parents and other persons designated as "less knowing" or "more knowing" by society may be assessed on the same central and relevant core ingredients of inter-personal functioning (Carkhuff, 1966a).

Carkhuff's comprehensive model (Carkhuff, 1966a) dictates that persons at high levels of functioning can help persons at lower levels to achieve higher levels. In short, it is

highly unlikely that persons at lower levels can have a significantly facilitative effect upon persons at higher levels of functioning. Also, the higher the level of functioning or development of the person, the less likely he is to become involved in or to be affected disastrously by long term encounters with persons who are functioning below his level. Further, the level of the first person will have a limiting effect upon the level of the second, when both are functioning below the minimal level of self-sustaining facilitation, i.e., level three.

Two recent studies have added significant dictates to the comprehensive model noted above. In one study (Holder, Carkhuff, and Berenson, 1966) the depth of self-exploration of the low functioning clients was found to be a significant function of the level of conditions offered by the counselor, while the intrapersonal exploration of the high functioning counselor continued independent of the level of conditions offered by the counselor and was significantly higher than that of the low functioning clients. Thus, clients who are functioning at higher levels of facilitative conditions appear to make better use of the counseling process than do those who are functioning at lower levels of conditions. This supports the proposition that following the establishment of a relatively

high level of communication, much of the communication process with high level functioning, or level three, clients may remain implicit—they function independently during periods when the therapist is functioning at lower levels. In another study (Alexik and Carkhuff, 1966) the results suggested that although the level of counselor-offered conditions may be determined by the counselor, the client's level of intrapersonal exploration has differential effects upon counselor offered conditions. That is, low level functioning counselors function at levels related to the client's depth of self-exploration, while the higher level functioning counselors functioned at levels independent of the client's depth of self-exploration.

In a study (Truax, 1961) designed to look at a number of therapist characteristics in group psychotherapy, comparative evaluations of conditions drawn from differing theoretical and clinical models were made upon groups of hospitalized patients. These groups were led by experienced therapists of widely differing approaches. In statistical analyses of sixteen different therapist-influenced variables, the findings indicated that fourteen of these therapeutic conditions were associated with the criteria of self-exploration; included were three of the dimensions mentioned above: empathy, positive



regard, and genuineness. As expected, the core of facilitative conditions is applicable to group as well as to individual therapy. However, little in the way of research has been done to examine the dynamics of group therapy using the core of facilitative conditions as a basis.

In one of the few research efforts, a lay therapy study (Pierce, Carkhuff, and Berenson, 1966), where this has been done, the high level functioning counselor's group demonstrated significant improvement on all individual conditions, while the group of the low level functioning counselor demonstrated no significant change. Also, in support of the comprehensive model sighted above, the first person did have a limiting effect upon the level of the second when he functioned below the minimal level of self-sustaining facilitation. The average level of the low counselor's group was similar at the end of twenty hours to the level of functioning of the low counselor. However, in the case of the high functioning counselor, the group did not approach the counselor's average. This was explained by hypothesizing that, in an extended long-term study, the group of the high counselor would move toward his level while the group of the low counselor would remain at the level of the low counselor.

The results of one study (Zolik and Hollon, 1960) designed

to measure the length of stay in therapy, suggested that the healthier and more integrated patients remain in therapy. In another study (Hiler, 1959) similar findings were reported: the sicker people terminate and the healthier people remain in therapy and receive treatment. Results from the lay therapy study, sighted above, indicated that counselees of those counselors who are functioning at the highest levels remain in therapy, while those of the lowest level functioning counselors tend to drop out.

Much remains unanswered or vague; more remains untapped. This study attempted to deal with questions not previously asked and to tap in on processes never before examined. The hypotheses, which were concerned with therapist-client interaction in group therapy, grew from implications of the comprehensive model and of the studies which were sighted above and which used, as a basis, the core of facilitative conditions. All of the subjects who served as counselees were, according to judges' personal conceptions, the most psychologically healthy of a large group majoring in a helping profession. The counselors, who served as group counselors, had had equal amounts of training in counseling; two were functioning near the minimal level of self-sustaining facilitation and two were functioning at lower levels. The direction of change, as

opposed to the absolute level of functioning, was the untapped group therapy dimension that was examined.

Both counselors and counselees were cast in the helping role before and after counseling and assessed on their pre- and post- levels of functioning. Counselees were randomly assigned to the counselors and the following hypotheses were made.

I. The counselees of the high functioning counselors will demonstrate significantly more constructive change in the course of counseling than will the counselees of the low functioning counselors.

II. The counselees of the counselors who demonstrate constructive change (or the most constructive change) in the course of counseling will demonstrate significantly more constructive change than will the counselees of the counselors who demonstrate deteriorative change (or the least constructive change).

As a corollary, it is hypothesized that the group members of the high level functioning counselors will demonstrate significantly higher attendance rates than will the group members of the low functioning counselors. Similarly, the attendance rates will be significantly higher for the group members of the counselors who demonstrate constructive change (or the



most constructive change) than for those of the counselors who demonstrate deteriorative change (or the least constructive change).

## METHOD

### Subjects

Judges, on the basis of their individual personal conceptions of psychological health, selected, from one of the larger colleges of the University of Massachusetts, thirty undergraduates whom they thought to be the most psychologically healthy. Six of these students, due to time conflicts, did not participate in the experiment. The remaining twenty-four were randomly assigned to one of four groups with six per group.

Each group was directed by a counselor. In previous research two of the counselors were functioning near the minimal level of self-sustaining facilitation and two were functioning at lower levels. The four counselors had had equal amounts of training in counseling.

The standard interviewee was a male selected from among the first year students in the graduate program in counseling psychology.

### Materials

The equipment consisted of tape recorders and five

previously validated research scales which measured the following dimensions: Counselor empathy (E), positive regard or respect (R), genuineness (G), and concreteness (C) and the depth to which the client explores himself (Ex) (Carkhuff, 1966b). Each scale has a five-point range. E ranges from level one where the counselor is unaware or ignorant of even the most conspicuous surface feelings of the counselee to level five where the counselor communicates an accurate empathic understanding of the client's deepest feelings (See Appendix A, Table I). R ranges from the counselor's clear demonstration of negative regard to his communication of a deep caring for the client (See Appendix A, Table II). G varies from the communication of a wide discrepancy between the counselor's experiencing and his verbalizations to his being freely and deeply himself in a non-exploitative relationship (See Appendix A, Table III). C ranges from the vague and abstract discussions to the direct discussion of specific feelings and experiences (See Appendix A, Table IV). Ex ranges from the lowest level where the client does not explore himself at all to the highest level where he is searching to discover new feelings concerning himself and his world (See Appendix A, Table V).

### Procedure

Each of the twenty-four counselees and each of the four

counselors served as a "counselor" in a standard interview. The "counselor" was given the mental set to "be as helpful as possible." The interviewee was given the mental set to discuss any personal problems or experiences which he might have had and which he felt he could share with the counselor.

After the initial standard interviews, the group members met with their assigned counselor for a one hour meeting, twice a week, for four weeks. The groups were told that the general topic, during the group sessions, would be "self-exploration." No other directions were given, to either the counselees or to the counselors.

When the groups had completed their eight sessions, the twenty-four counselees and the four counselors were again placed in the helping role. The conditions for these standard interviews were identical to those for the initial ones.

### Scoring

Two, three-minute excerpts were selected randomly from the beginning and the end of the standard interviews. These excerpts were rated by two experienced raters on the five five-point scales assessing the five dimensions of interpersonal functioning which have been related to constructive client changes in counseling and psychotherapy: Counselor empathy, respect, genuineness, and concreteness and the depth



to which the client explores himself.

## RESULTS

### Reliability

In the portion of the research involving ratings of the two three-minute taped excerpts from each standard interview, assessments were made of the intra-rater reliabilities. The rate-rerate reliabilities on the same three-minute taped excerpts ranged from Pearson coefficients of .82 to .99 for the two raters on all of the five scales. (See Table I).

Inter-rater reliabilities were not calculated. Instead, the two raters, after rating all the excerpts twice, met and discussed those excerpts for which their average ratings differed. If the difference was resolved, the agreed-upon rating served as the final rating for the excerpt; if the difference could not be resolved, the average of the two raters' average ratings was used as the final rating.

### Statistical Analyses of the Data

In the course of counseling, one of the High and one of the Low level functioning counselors demonstrated constructive change, and the other High and the other Low level functioning counselor demonstrated deteriorative change. The counselors will be referred to as Counselor A (High Grower), Counselor B

TABLE I

Intra-rater reliability for tape ratings on five dimensions of counseling and psychotherapy.

---

	Rater 1	Rater 2
Empathy	.99	.98
Positive Regard	.84	.91
Genuineness	.91	.94
Concreteness	.82	.90
Depth of Exploration	.92	.89

---

(Low Grower), Counselor C (High Non-Grower) and Counselor D (Low Non-Grower). The changes in counselor level of functioning are diagrammed in Figure 1.

The initial, average level of functioning (Across the five dimensions) of the counselees was 1.8. Their final average level of functioning was also 1.8.

An index of attendance, Stay vs. Drop, for the counselees of the Growers (A and B) and the Non-Growers (C and D) and of the Highs (A and C) and the Lows (B and D) appears in Table II and Table III respectively. A Chi Square of 3.34 (in both tests) was significant, in the predicted direction for the Growers vs. Non-Growers test but not in the predicted direction for the High vs Low test, at the .10 level; the theoretical frequency was 6/cell.

The difference between the pre- and the post- levels of functioning was calculated for each group member. The analysis of variance was then applied to test the first two hypotheses. The summary of the analysis of variance used to test the first hypothesis, that counselees of the high functioning counselors will demonstrate significantly more constructive change in the course of counseling than will the counselees of the low functioning counselors, appears in Table IV and Table V. The only significant effect was the main effect due to the four



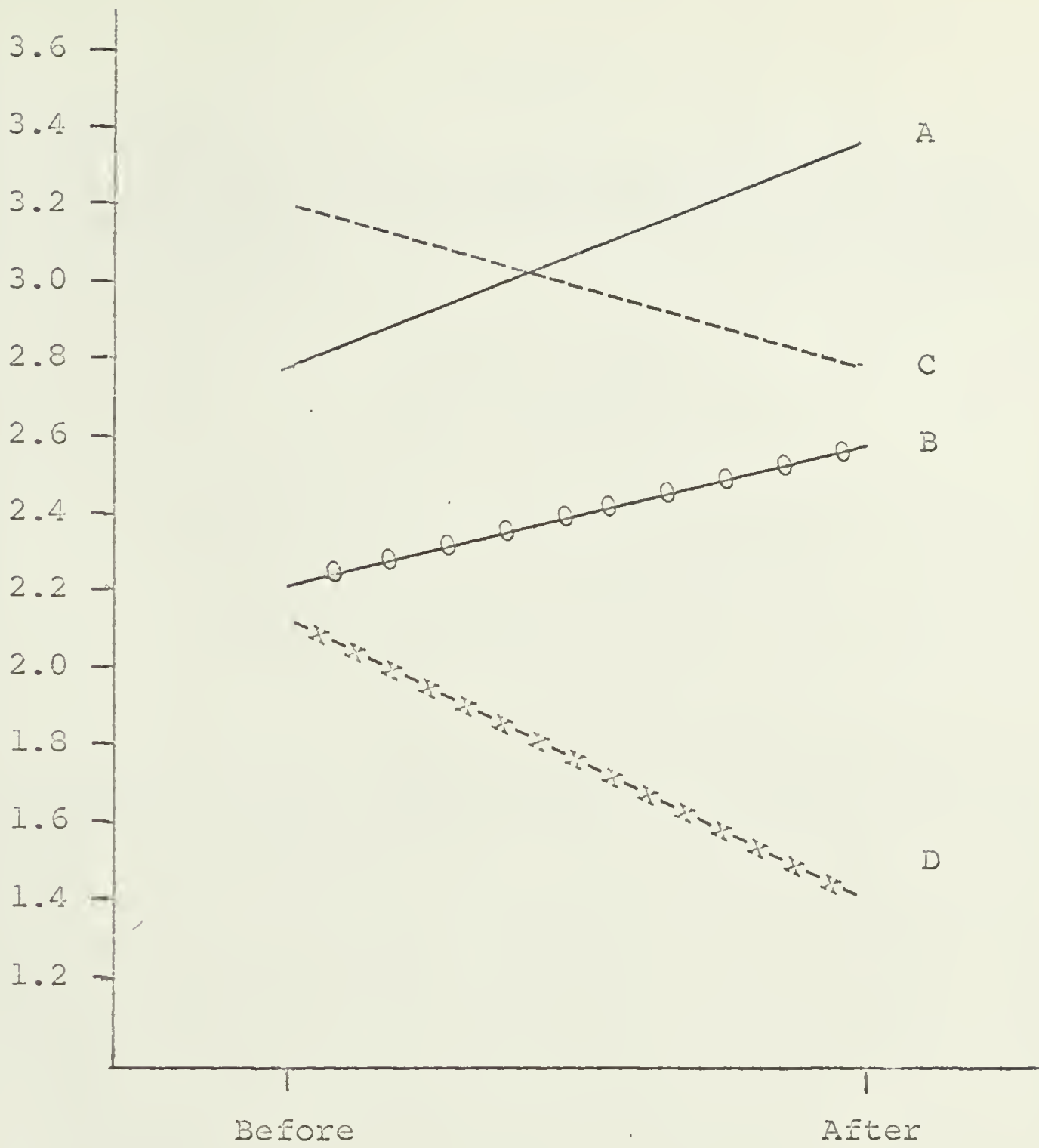


FIGURE 1. Change in counselor level of functioning, as measured by the five dimensions of interpersonal functioning: empathy, genuineness, positive regard, concreteness and client depth of self-exploration.

TABLE II

Final attendance of the counselees of the counselors who demonstrated constructive change (Growers) and of the counselees of the counselors who demonstrated deteriorative change (Non-Growers). \*

	Stay	Drop	
Growers	9	3	12
Non-Growers	5	7	12

\* Chi Square of 3.34; significant at .10 level, in the predicted direction.

TABLE III

Final attendance of the counselees of the High functioning counselors (High) and of the counselees of the Low functioning counselors (Low). \*

	Stay	Drop	
High	5	7	12
Low	9	3	12

\* Chi Square of 3.34; significant at .10 level, in the direction not predicted.



TABLE IV

Summary of the analysis of variance used to test the hypothesis that counselees, S, of the High functioning counselors, L(1), will demonstrate significantly more constructive change (as measured along the four dimensions, D, of interpersonal functioning: Counselor Empathy, Positive Regard, Genuineness, and Concreteness) in the course of counseling than will the Counselees of the Low functioning counselors, L(2).

SV	df	SS	MS	F
Total	95	1859.4		
Between Subjects	23	899.4		
L	1	44.7	44.7	1.21 *
C/L	2	116.5	58.3	1.47
S/C/L	20	738.2	36.9	
Within Subjects	72	960.0		
D	3	151.8	50.6	4.18 **
LD	3	27.9	9.3	.77
CD/L	6	57.2	9.5	.79
SD/C/L	60	723.1	12.1	

\* Not in predicted direction.

\*\* Significant at the .01 level.

TABLE V

Summary of the analysis of variance use to test whether the counselees, S, or the High functioning counselor, L(1), demonstrated significantly more constructive change on each of the four counselor dimensions, D, of interpersonal functioning than did the counselees of the Low functioning counselor L(2). \*

SV	df	SS	MS	F
Simple Effects of L at:				
D(1) -Empathy	1	34.1	34.1	.86
D(2) -Genuineness	1	36.4	36.4	.92
D(3) -Concreteness	1	28.1	28.1	.71
D(4) -Respect	1	40.4	40.4	1.02
S/C/L	20	738.2	36.9	

\*All simple effects of L were not in the direction predicted.

dimensions; in general, the group members demonstrated more constructive gain in Empathy and Respect than in Genuineness and Concreteness. That the effect C/L is greater than the effect L indicates more variability between the two Highs and between the two Lows than between the Highs and the Lows. The main effect of L, the effect examined to test the first hypothesis, was virtually non-existent. Likewise, the simple effects of L at D(1), D(2), D(3) and D(4) were nearly zero. All simple effects of L and the main effect of L, while far from significant, were not in the expected direction.

The summary of the analysis of variance used to test the second hypothesis, that the counselees of the counselors who demonstrate constructive change (or the most constructive change) in the course of counseling will demonstrate significantly more constructive change than will the counselees of the counselors who demonstrate deteriorative change (or the least constructive change), appears in Table VI and Table VII. There were no new, significant effects. The main effect due to G was greater than the main effect due to L; however, it failed to achieve significance at the .05 level. Furthermore, the variability, indicated by C/G, between the two groups of the Growers and between the two groups of the Non-Growers was less than the variability between the groups of Growers and



TABLE VI

Summary of the analysis of variance used to test the hypothesis that counselees, S, of counselors, G(1), who demonstrate constructive change in the course of counseling will demonstrate significantly more constructive change (as measured along the four dimensions, D, of interpersonal functioning: Counselor Empathy, Positive Regard, Concreteness and Genuineness) than will counselees of counselors, G(2), who demonstrate deteriorative change.

SV	df	SS	MS	F
Total	95	1859.4		
Between Subjects	23	899.4		
G	1	96.4	96.4	2.61
C/G	2	64.8	32.4	.87
S/C/G	20	738.2	36.9	
Within Subjects	72	960.0		
D	3	151.8	50.6	4.18 *
GD	3	30.1	10.0	.83
CD/G	6	55.0	9.1	.76
SD/C/G	60	723.1	12.1	

\* Significant at the .01 level.

TABLE VII

Summary of the analysis of variance use to test whether the counselees, S, of the counselors, G(1), who demonstrated constructive change demonstrated more constructive change on each of the four counselor dimensions, D, of interpersonal functioning than did the counselees of the counselors who demonstrated deteriorative change, G(2).

SV	df	SS	MS	F
Simple Effects of G at:				
D(1)-Empathy	1	70.7	70.7	1.91
D(2)-Genuineness	1	23.3	23.3	.63
D(3)-Concreteness	1	32.6	32.6	.88 *
D(4)-Respect	1	25.8	25.8	.71
S/C/G	20	738.2	26.9	

\*Not in the direction predicted.

groups of Non-Growers. The simple effect of G at D(1), while not significant, should be considered; the group members of the Growers tended to demonstrate more constructive gain in Empathy than did those of the Non-Growers. This variability accounts for much of the variability indicated by the main effect of G. All effects were in the expected direction, except for the simple effect of G at D(3); the group members of the Non-Growers demonstrated slightly more constructive gain in Concreteness than did those of the Growers.

#### DISCUSSION

While the results failed to support any of the hypotheses, an important implication may have been discovered. That is, the direction of change in level of functioning may be more important than the absolute level of functioning. This could have profound implications for current modes of training and treatment processes of the helping professions. Extending this further, only as long as the counselor is growing can he allow others to grow. Finally, one can accept constructive change as a real possibility only if he is experiencing change; non-growers do not believe in change.

Contrary to the predictions, the counselees of the low functioning counselors demonstrated slightly more constructive



change in the course of counseling than did the counselees of the high functioning counselors. However, this tendency was so slight that it was virtually non-existent and may be accounted for by error variance. Also, contrary to the predictions, group members of the low level functioning counselors demonstrated higher attendance rates than did those of the high functioning counselors. Both contradictions can be explained by the fact that one of the High and one of the Low level functioning counselors demonstrated constructive change in his own interpersonal functioning, while the other High and the other Low level functioning counselor demonstrated deteriorative change. Furthermore, the constructive effect of the low functioning counselor who demonstrated constructive change was greater than that of the high functioning counselor who demonstrated constructive change. The deteriorative effect of the low functioning counselor who deteriorated was about equal to that of the high functioning counselor who also deteriorated. Hence, the results are contrary to the predictions in these two cases.

In accordance with predictions, there was a tendency for the counselees of the counselors who demonstrated constructive change to demonstrate more constructive change than did the counselees of the counselors who demonstrated deteriorative

change. Also, in accordance with predictions, there was a tendency for the counselees of the counselors who demonstrated constructive change to remain in counseling, while the counselees of the counselors who deteriorated tended to drop out. Thus, the direction of counselor change might have an important effect on amount of constructive change in counselees and on whether or not the counselees remain in counseling.

It must be pointed out that the tendencies noted above, while indicative, are extremely tenuous. In all cases the effects that were of major import were far from significant. The failure to obtain significance was possibly partly due to the lack of variability between counselors. Also, while the average levels of functioning for the four groups were about equal, the variability within the groups was not; therefore, some groups had more relatively high and more relatively low functioning group members than did other groups causing a confounding of initial level of functioning with amount of growth.

Two future studies might help clarify the results of this study. First, one study might test whether counselees of high functioning counselors will demonstrate significantly more constructive change in the course of counseling than will

the counselees of the low functioning counselor, in the following manner: again using four groups, but having two counselors functioning around level 3.5, two counselors functioning around level 2.5 and twenty-four counselees functioning around level 2. All the counselors should have some constructive effect, as they are all functioning above the level of the counselees; however, the higher functioning counselors should have a much greater effect.

A second study might test whether the counselees of the counselors who demonstrate constructive change will demonstrate significantly more constructive change than will the counselees of the counselors who demonstrate deteriorative change, in the following manner. Use two groups with two counselors who can function around level 3.5 and twelve counselees functioning around level two. Have one counselor start the first group session at level two and then increase his level of functioning at each subsequent session so that at session eight he is functioning at level 3.5. Have the second counselor start at level 3.5 and decrease his level of functioning to level two by session eight. One drawback of this design is that the final level of functioning for the counselors of the two groups will not be equal. This may confound the results.

A very discouraging finding, although not surprising nor

infrequent, is the fact that the average level of functioning of the group members, who were chosen as "the most psychologically healthy" of a large group majoring in a helping profession, was below level two. At level two the individual is functioning often relatively well by societal standards. Nevertheless, he is dominated by errors in his assumptive world which lead him into continual difficulties and keep him in constant disharmony with others. His distortions dictate the deterioration of those relationships which mean so much to him. That the group members were functioning well by societal standards is probably why they were chosen. We need either to judge people psychologically healthy by another index, or we need to raise our frighteningly low societal standards. Another implication, even more important, is the possibility that most of mankind is functioning hopelessly in a distorted world, and may continue to do so.

#### SUMMARY

Twenty-four students, judged to be the most psychologically healthy of a large group majoring in a helping profession, served as counselees and four counselors in training, two functioning around the minimal level of self-sustaining facilitation and two functioning at lower levels, served as



group counselors in a group counseling study. Both counselors and counselees were cast in the helping role before and after counseling and assessed on their pre- and post- levels of functioning. Counselees were randomly assigned to the counselors. The counselees met with their assigned counselor for a one hour meeting, twice a week, for four weeks.

The following hypotheses were tested:

- I. The counselees of the high functioning counselors will demonstrate significantly more constructive change in the course of counseling than will the counselees of the low functioning counselors.
- II. The Counselees of the counselors who demonstrate constructive change in the course of counseling will demonstrate significantly more constructive change than will the counselees of the counselors who demonstrate deteriorative change.
- III. Group members of the high level functioning counselors will demonstrate significantly higher attendance rates than will the group members of the low functioning counselors.
- IV. The attendance rates will be significantly higher for the group members of the counselors who demonstrate constructive change than for those of the counselors who demonstrate deteriorative change.

While the results failed to support any of the hypotheses, they did suggest that the direction of change in level of functioning of the counselor might be more important than his absolute level of functioning. Implications for current modes of training and treatment processes were discussed. As a guide for future research, possible changes in the present study were recommended.

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## APPENDIX A

Table I  
 EMPATHY SCALE

# Empathic Understanding in Interpersonal Processes

## A Scale for Measurement<sup>1</sup>

Bernard G. Berenson, Robert R. Carkhuff, J. Alfred Southworth

### Level 1

The first person appears completely unaware or ignorant of even the most conspicuous surface feelings of the other person(s).

Example: The first person may be bored or disinterested or simply operating from a preconceived frame of reference which totally excludes that of the other person(s).

In summary, the first person does everything but listen, understand or be sensitive to even the surface feelings of the other person(s).

### Level 2

The first person responds to the surface feelings of the other person(s) only infrequently. The first person continues to ignore the deeper feelings of the other person(s).

Example: The first person may respond to some surface feelings but tends to assume feelings which are not there. He may have his own ideas of what may be going on in the other person(s) but these do not appear to correspond with those of the other person(s).

In summary, the first person tends to respond to things other than what the other person(s) appear to be expressing or indicating.

### Level 3

The first person almost always responds with minimal understanding to the surface feelings of the other person(s) but, although making an effort to understand the other person's deeper feelings almost always misses their import.

Example: The first person has some understanding of the surface aspects of the messages of the other person(s) but often misinterprets the deeper feelings.

In summary, the first person is responding but not aware of who that other person really is or of what that other person is really like underneath. Level 3 constitutes the minimal level of facilitative interpersonal functioning.

### Level 4

The facilitator almost always responds with understanding to the surface feelings of the other person(s) and sometimes but not often responds with empathic understanding to the deeper feelings.

Example: The facilitator makes some tentative efforts to understand the deeper feelings of the other person(s).

In summary the facilitator is responding, however infrequently with some degree of empathic understanding of the deeper feelings of the other person(s).

### Level 5

The facilitator almost always responds with accurate empathic understanding to all of the other person's deeper feelings as well as surface feelings.

Example: The facilitator is "together" with the other person(s) or "tuned in" on the other person's wavelength. The facilitator and the other person(s) might proceed together to explore previously unexplored areas of human living and human relationships. The facilitator is responding with full awareness of the other person(s) and a comprehensive and accurate empathic understanding of his most deep feelings.

1. The present scale "Empathic understanding in interpersonal processes" has been derived in part from "A scale for the measurement of accurate empathy (Truax, 1961)" which has been validated in extensive process and outcome research on counseling and psychotherapy (Bergin and Solomon, 1963; Carkhuff and Truax, 1965, 1965a, 1965b; Rogers, 1962; Truax, 1963; Truax and Carkhuff, 1963, 1964, 1965). In addition, similar measures of similar constructs have received extensive support in the literature of counseling and therapy (Barrett-Leonard, 1962; Demos, 1964; Halkides, 1958; Truax, 1961) and education (Aspy, 1965). The present scales were written to apply to all interpersonal processes and have already received research support (Carkhuff, 1965, 1965a; Baranson Carkhuff and Myrus, 1965).

The present scale represents a systematic attempt to reduce the ambiguity and increase the reliability of the scale. In the process many important delineations and additions have been made. For comparative purposes, Level 1 of the present scale is approximately equal to Stage 1 of the earlier scale. The remaining levels are approximately correspondent: Level 2 and Stages 2 and 3 of the earlier version; Level 3 and Stages 4 and 5; Level 4 and Stages 6 and 7; Level 5 and Stages 8 and 9.

## Appendix A

### APPENDIX A

Table II

### RESPECT SCALE



# Respect or Positive Regard in Interpersonal Processes

## A Scale for Measurement<sup>1</sup>

Robert R. Carkhuff

J. Alfred Southworth

Bernard G. Berenson

### Level 1

The first person is communicating clear negative regard for the second person.

Example: The first person may be actively offering advice or telling the second person what would be "best" for him.

In summary, in many ways the first person acts in such a way as to make himself the focus of evaluation and sees himself as responsible for the second person.

### Level 2

The first person responds to the second person in such a way as to communicate little positive regard.

Example: The first person responds mechanically or passively or ignores the feelings of the second person.

In summary, in many ways the first person displays a lack of concern or interest for the second person.

### Level 3

The first person communicates a positive caring for the second person but there is a conditionality to the caring.

Example: The first person communicates that certain kinds of actions on the part of the second person will reward or hurt the first person.

In summary, the first person communicates that what the second person does or does not do, matters to the first person. Level 3 constitutes the minimal level of facilitative interpersonal functioning.

### Level 4

The facilitator clearly communicates a very deep interest and concern for the welfare of the second person.

Example: The facilitator enables the second person to feel free to be himself and to be valued as an individual except on occasion in areas of deep personal concern to the facilitator.

In summary, the facilitator sees himself responsible to the second person.

### Level 5

The facilitator communicates a very deep respect for the second person's worth as a person and his rights as a free individual.

Example: The facilitator cares very deeply for the human potentials of the other person.

In summary, the facilitator is committed to the value of the other person as a human being.

1. The present scale, "Respect or Positive Regard in Interpersonal Processes" has been derived in part from "A Tentative Scale for the Measurement of Unconditional Positive Regard" (Truax, 1962) which has been validated in extensive process and outcome research on counseling and psychotherapy (Carkhuff and Truax, 1965; 1965a; Rogers, 1962; Truax, 1963; Truax and Carkhuff, 1963, 1964, 1965). In addition, similar measures of similar constructs have received extensive support in the literature of counseling and therapy (Barrett-Lennard, 1962; Demos, 1964; Halkides, 1958; Scotts, 1962) and education (Christianson, 1961; Truax and Tatum, 1962). The present scales were written to apply to all interpersonal processes and have already received research support (Carkhuff, 1965, 1965a; Berenson, Carkhuff and Myrus, 1965).

The present scale represents a systematic attempt to reduce the ambiguity and increase the reliability of the scale. In the process many important dilineations and additions have been made. For comparative purposes, the levels of the present scale are approximately equal to the stages of the earlier scale, although the systematic emphasis upon the positive regard rather than upon unconditionality represents a pronounced divergence of emphasis.

APPENDIX A

Table III

GENUINENESS SCALE



# Facilitative Genuineness in Interpersonal Processes

## A Scale for Measurement<sup>1</sup>

Robert R. Carkhuff

### Level 1

The first person's verbalizations are clearly unrelated to what he is feeling at the moment, or his only genuine responses are negative in regard to the second person(s) and appear to have a totally destructive effect upon the second person.

Example: The first person may be defensive in his interaction with the second person(s) and this defensiveness may be demonstrated in the content of his words or his voice quality and where he is defensive he does not employ his reaction as a basis for potentially valuable inquiry into the relationship.

In summary, there is evidence of a considerable discrepancy between the first person's inner experiencing and his current verbalizations or where there is no discrepancy the first person's reactions are employed solely in a destructive fashion.

### Level 2

The first person's verbalizations are slightly unrelated to what he is feeling at the moment or when his responses are genuine they are negative in regard to the second person and the first person does not appear to know how to employ his negative reactions constructively as a basis for inquiry into the relationship.

Example: The first person may respond to the second person(s) in a "professional" manner that has a rehearsed quality or a quality concerning the way a helper "should" respond in that situation.

In summary, the first person is usually responding according to his prescribed "role" rather than to express what he personally feels or means and when his is genuine his responses are negative and he is unable to employ them as a basis for further inquiry.

### Level 3

The first person provides no "negative" cues between what he says and what he feels, but he provides no positive cues to indicate a really genuine response to the second person(s).

Example: The first person may listen and follow the second person(s), but commits nothing more of himself.

In summary, the first person appears to make appropriate responses which do not seem insincere but which do not reflect any real involvement either. Level 3 constitutes the minimal level of facilitative interpersonal functioning.

### Level 4

The facilitator presents some positive cues indicating a genuine response (whether positive or negative) in a non-destructive manner to the second person(s).



Example: The facilitator's expressions are congruent with his feelings although he may be somewhat hesitant about expressing them fully.

In summary, the facilitator responds with many of his own feelings and there is no doubt as to whether he really means what he says and he is able to employ his responses whatever their emotional content, as a basis for further inquiry into the relationship.

#### Level 5

The facilitator is freely and deeply himself in a non-exploitative relationship with the second person(s).

Example: The facilitator is completely spontaneous in his interaction and open to experiences of all types, both pleasant and hurtful; and in the event of hurtful responses the facilitator's comments are employed constructively to open a further area of inquiry for both the facilitator and the second person.

In summary, the facilitator is clearly being himself and yet employing his own genuine responses constructively.

1. The present scale, "Facilitative genuineness in interpersonal processes" has been derived in part from "A tentative scale for the measurement of therapist genuineness or self-congruence (Truax, 1962)" which has been validated in extensive process and outcome research on counseling and psychotherapy (Barrett-Lennard, 1962; Dickenson, 1965; Haikides, 1958; Jourard, 1962; Truax, 1961) and education (Aspy, 1955). The present scale represents a systematic attempt to reduce the ambiguity and increase the reliability of the scale. In the process, many important delineations and additions have been made. For comparative purposes, the levels of the present scale are approximately equal to the stages of the earlier scale, although the systematic emphasis upon the constructive employment of negative reactions represents a pronounced divergence of emphasis.

## APPENDIX A

Table IV

## CONCRETENESS SCALE

Personally Relevant Concreteness or Specificity of Expression  
in Interpersonal Processes

A Scale for Measurement<sup>1</sup>

Robert R. Carkhuff

Level 1

The first person leads or allows all discussion with the second person(s) to deal only with vague and anonymous generalities.

Example: The first person and the second person discuss everything on strictly an abstract and highly intellectual level.

In summary, the first person makes no attempt to lead the discussion into the realm of personally relevant specific situations and feelings.

Level 2

The first person frequently leads or allows even discussions of material personally relevant to the second person(s) to be dealt with on a vague and abstract level.

Example: The first person and the second person may discuss "real" feelings but they do so at an abstract, intellectualized level.

In summary, the first person does not elicit discussion of most personally relevant feelings and experiences in specific and concrete terms.

Level 3

The first person at times enables the second person(s) to discuss personally relevant material in specific and concrete terminology.

Example: The first person will help to make it possible for the discussion with the second person(s) to center directly around most things which are personally important to the second person(s) although there will continue to areas not dealt with concretely and areas which the second person does not develop fully in specificity.

In summary, the first person sometimes guides discussions into consideration of personally relevant specific and concrete instances, but these are not always fully developed. Level 3 constitutes the minimal level of facilitative functioning.

Level 4

The facilitator is frequently helpful in enabling the second person(s) to fully develop in concrete and specific terms almost all instances of concern.

Example: The facilitator is able on many occasions to guide the discussion to specific feelings and experiences of personally meaningful material.

In summary, the facilitator is very helpful in enabling the discussion to center around specific and concrete instances of most important and personally relevant feelings and experiences.

## Level 5

The facilitator is always helpful in guiding the discussion so that the second person(s) may discuss fluently, directly and completely specific feelings and experiences.

Example: The first person involves the second person in discussion of specific feelings, situations and events, regardless of their emotional content.

In summary, the facilitator facilitates a direct expression of all personally relevant feelings and experiences in concrete and specific terms.

<sup>1</sup> The present scale "personally Relevant Concreteness or Specificity of Expression" has been derived from earlier work (Truax, 1961; Truax and Carkhuff, 1963, 1964). Similar measures of similar constructs have been researched only minimally (Pope and Siegman, 1962). The present scale has received support in research on the training of counselors (Berenson, Carkhuff and Myrus, 1965). The systematic emphasis upon the personally meaningful relevance of concrete and specific expressions represents a pronounced divergence of emphasis.



## APPENDIX A

Table V

## CLIENT SELF-EXPLORATION SCALE

# Self-Exploration in Interpersonal Processes

## A Scale for Measurement<sup>1</sup>

Robert R. Carkhuff

### Level 1

The second person does not discuss personally relevant material, either because he has had no opportunity to do such or because he is actively evading the discussion even when it is introduced by the first person.

Example: The second person avoids any self-descriptions or self-exploration or direct expression of feelings that would lead him to reveal himself to the first person.

In summary: for a variety of possible reasons, the second person does not give any evidence of self-exploration.

### Level 2

The second person responds with discussion to the introduction of personally relevant material by the first person but does so in a mechanical manner and without the demonstration of emotional feeling.

Example: The second person simply discusses the material without exploring the significance or the meaning of the material or attempting further exploration of that feeling in our effort to uncover related feelings or material.

In summary, the second person responds mechanically and remotely to the introduction of personally relevant material by the first person.

### Level 3

The second person voluntarily introduces discussions of personally relevant material but does so in a mechanical manner and without the demonstration of emotional feeling.

Example: The emotional remoteness and mechanical manner of the discussion give the discussion a quality of being rehearsed.

In summary, the second person introduces personally relevant material but does so without spontaneity or emotional proximity and without an inward probing to newly discover feelings and experiences.

### Level 4

The second person voluntarily introduces discussions of personally relevant material with both spontaneity and emotional proximity.

Example: the voice quality and other characteristics of the second person are very much "with" the feelings and other personal materials which are being verbalized.

In summary, the second person introduces personally relevant discussions with spontaneity and emotional proximity but without a distinct tendency toward inward probing to newly discover feelings and experiences.

### Level 5

The second person actively and spontaneously engages in an inward probing to newly discover feelings or experiences about himself and his world.

Example: The second person is searching to discover new feelings concerning himself and his world even though at the moment he may be doing so perhaps fearfully and tentatively.

In summary, the second person is fully and actively focusing upon himself and exploring himself and his world.

<sup>1</sup> The present scale "Self exploration in interpersonal processes" has been derived in part from "The measurement of depth of intrapersonal exploration (Truax, 1963) which has been validated in extensive process and outcome research on counseling and psychotherapy (Carkhuff and Truax, 1965, 1965a, 1965b; Rogers, 1962; Truax, 1963; Truax and Carkhuff, 1963, 1964, 1965). In addition, similar measures of similar constructs have received extensive support in the literature of counseling and therapy (Blau, 1953; Braaten, 1958; Peres, 1947; Seaman, 1949; Steele, 1948; Wolfson, 1949).

The present represents a systematic attempt to reduce the ambiguity and increase the reliability of the scale. In the process many important delineations and additions have been made. For comparative purposes, Level 1 of the present scale is approximately equal to Stage 1 of the early scale. The remaining levels are approximately correspondent: Level 2 and Stages 2 and 3; Level 3 and Stages 4 and 5; Level 4 and Stage 6; Level 5 and Stages 7, 8, and 9.

## APPENDIX B

## RAW DATA



Each entry is the final rating for a particular standard interview, on one of the dimensions of inter-personal functioning.

Subject		Emp.	Gen.	Con.	Res.	Exp.
1	Before	1.6	1.9	2.0	1.7	2.4
	After	1.9	2.5	1.6	2.4	2.1
2	Before	1.8	2.0	2.0	2.2	2.0
	After	2.0	2.2	2.2	2.4	2.5
3	Before	1.5	1.5	1.8	1.5	2.6
	After	1.8	2.2	2.2	1.9	2.5
4	Before	2.0	1.8	2.2	2.4	2.8
	After	1.7	2.0	2.0	1.8	2.0
5	Before	1.4	1.5	1.7	1.7	2.6
	After	1.5	1.5	1.3	1.5	2.6
6	Before	1.4	1.5	1.8	1.9	2.8
	After	1.4	1.6	1.7	2.0	2.8
7	Before	1.8	1.8	1.8	1.9	2.3
	After	1.3	1.2	1.3	1.5	1.8
8	Before	1.4	2.0	1.9	1.8	2.5
	After	1.5	1.8	1.7	1.7	2.0
9	Before	1.8	1.7	2.0	1.7	2.3
	After	2.4	2.0	2.5	2.3	2.7
10	Before	1.6	2.5	1.9	1.7	2.5
	After	1.7	1.7	1.5	1.8	2.5
11	Before	1.5	1.9	2.0	2.2	2.5
	After	1.5	1.5	1.5	1.5	2.2
12	Before	1.4	1.5	1.5	1.5	3.0
	After	1.7	1.8	1.7	1.5	2.3
13	Before	1.9	2.0	2.3	1.9	2.4
	After	2.2	2.8	2.0	2.8	2.5

14	Before	2.0	2.0	2.2	2.8	2.7
	After	1.8	2.3	2.0	2.3	2.2
15	Before	2.5	2.5	2.1	2.3	2.8
	After	1.9	2.2	1.4	2.7	2.4
16	Before	1.8	1.6	1.8	1.9	2.4
	After	1.5	1.6	1.5	1.5	2.3
17	Before	1.4	1.5	1.4	1.5	2.3
	After	1.7	1.8	1.4	1.8	2.0
18	Before	1.5	2.3	2.0	1.5	2.5
	After	1.5	2.0	1.5	1.9	1.9
19	Before	1.6	2.7	1.7	2.0	2.5
	After	1.8	1.8	1.8	1.8	2.0
20	Before	1.5	1.8	1.9	1.9	2.6
	After	2.2	2.8	2.0	2.3	2.4
21	Before	1.5	2.0	2.0	1.5	2.3
	After	2.0	2.4	1.6	2.5	2.0
22	Before	1.5	2.3	2.5	2.3	2.4
	After	2.5	2.0	2.0	2.5	2.5
23	Before	1.0	1.8	1.5	1.4	2.9
	After	1.8	2.0	2.0	2.2	2.7
24	Before	2.5	2.5	2.3	2.8	2.8
	After	1.8	2.2	2.0	2.3	2.1

Counselor A: Subjects 1-6

Counselor C: Subjects 7-12

Counselor D: Subjects 13-18

Counselor B: Subjects 19-24

Counselor		Emp.	Gen.	Con.	Res.	Exp.
A	Before	2.6	2.8	2.8	2.9	2.9
	After	3.5	3.5	3.1	3.5	3.4
C	Before	3.2	3.2	3.1	3.2	3.2
	After	2.7	2.9	2.9	2.8	2.8

B	Before	2.0	2.4	2.1	2.1	2.4
	After	2.3	3.0	2.8	2.4	3.0
D	Before	2.2	2.2	2.0	2.0	2.1
	After	1.3	1.4	1.4	1.2	1.3



